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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/690,628
Filing Date	October 23, 2003
First Named Inventor	SHAN et al.
Examiner Name	Christopher R. TATE
Group Art Unit	1654

Total Number of Pages in This Submission 10

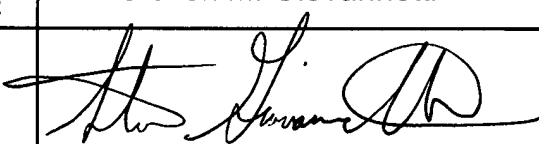
Attorney Docket Number 2968-204

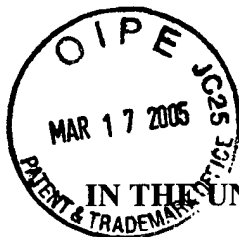
### ENCLOSURES (check all that apply)

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|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers  | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Amendment   | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Declaration under Rule 312                          | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):            |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer  |  |
| <input checked="" type="checkbox"/> Information Disclosure Statement         | <input type="checkbox"/> Request for Refund   |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <input type="checkbox"/> CD, Number of CD(s)  |  |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application   |   |  |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |  |

**PTO-1449**  
**two (2) cited refs.**  
**EP Search Report**

REMARKS:

SUBMITTED BY		Complete (if applicable)			
NAME AND REG. NUMBER	Steven M. Giovannetti		Reg. No. 51,739		
SIGNATURE		DATE	March 16, 2005	DEPOSIT ACCOUNT USER ID 02-2135	



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of : SHAN et al. Confirmation No.: 5928  
Application No. : 10/690,628  
Filed : October 23, 2003  
TC/A.U. : 1654  
Examiner : Christopher R. TATE  
Docket No. : 2968-204  
Customer No. : 6449  
For : PROCESSES OF MAKING NORTH AMERICAN GINSENG  
FRACTIONS , PRODUCTS CONTAINING THEM, AND  
USES AS IMMUNOMODULATORS

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

Under the provisions of 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicants submit herewith information that the Office may wish to consider in examination of the subject application.

Materials submitted for consideration are listed on the attached form PTO-1449.

This statement is being provided prior to the receipt of the first Office Action on the merits. No certification or fee is required.

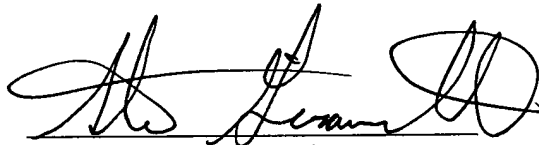
Enclosed is a copy of the European Search Report from European Application No. 98 96 3784.8. The two (2) references cited in this report and on the PTO-1449 are attached.

Appln. No. 10/690,628  
Supplemental Information Disclosure Statement

Pursuant to 1.98(d), a copy of the Fujimoto et al reference (Cite No. AQ) is not included because it was previously submitted to the Office in prior application Serial No. 09/581,161 (Pat. No. 6,432,454) and to which priority is or has been claimed under 35 USC § 120.

Please charge and additional payment required or credit any overpayment made to deposit account no. 02-2135. An extra copy of this letter is attached.

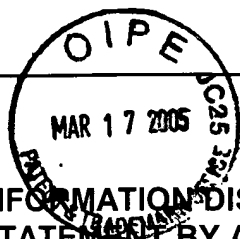
Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Steven M. Giovannetti', written over a horizontal line.

Steven M. Giovannetti  
Registration No. 51,739  
Attorney for Applicants  
Rothwell, Figg, Ernst & Manbeck  
1425 K Street, N.W., Suite 800  
Washington, DC 20005  
Telephone: (202) 783-6040  
Fax: (202) 783-6031

Date: March 16, 2005

Attachments  
L:\2968\204\2968-204.IDS.wpd



# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*Complete if Known*

Application Number	10/690,628
Filing Date	October 23, 2003
First Named Inventor	Jacqueline J. Shan, et al.
Group Art Unit	1651
Examiner Name	Christopher R. Tate

Sheet	1	of	2	Attorney Docket Number	2968-204
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## **U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
	AA				
	AB				
	AC				
	AD				
	AE				
	AF				
	AG				
	AH				
	AI				
	AJ				

## **FOREIGN PATENT DOCUMENTS**

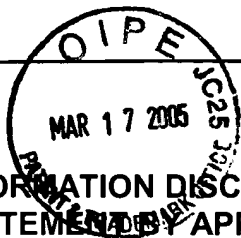
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee of Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T <sup>6</sup>
		Office <sup>3</sup> Code	Number <sup>4</sup>	Kind <sup>5</sup> (if known)			
	AK	CN	1088448A (Abstract)		PENG, D.	6/1994	x
	AL						
	AM						
	AN						
	AO						
	AP						

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code. <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached. AB indicates that only an English language abstract is attached.



**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

*Complete if Known*

Application Number	10/690,628
Filing Date	October 23, 2003
First Named Inventor	Jacqueline J. Shan, et al.
Group Art Unit	1651
Examiner Name	Christopher R. Tate

Sheet	2	of	2	Attorney Docket Number	2968-204
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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	AQ	Fujimoto et al., Chem. Pharm. Bull. Vol. 39, No. 2, pgs. 521-523 (1991).	
	AR	Zhou Yu et al., Biosciences Information Service, Philadelphia, PA, Vol. 23, No. 9, pages 551-552, 577(1998). (Abstract)	x
	AS		
	AT		
	AU		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.